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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/701,200	11/27/2000	George Friedman	1243-00	7269

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EXAMINER

THAI, TUAN V

ART UNIT PAPER NUMBER

2186

DATE MAILED: 08/26/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/701,200

Applicant(s)

FRIEDMAN ET AL.

Examiner

Tuan V. Thai

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 16 July 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-35 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-35 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 27 November 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

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Part III DETAILED ACTION

Response to Amendment

1. This office action is in response to Applicant's communication filed July 16, 2004. This amendment has been entered and carefully considered. Claims 1-35 remain pending in the application.

2. Applicant's arguments with respect to claims 1-35 have been considered but are deemed to be moot in view of the new grounds of rejection.

Rejections - 35 USC § 103

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-35 are rejected under 35 U.S.C. 103(a) as being unpatentable over Bapat et al., hereinafter Bapat (USPN:

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6,038,563); in view of David A. Soloman (Inside Window NT, Second Edition), hereinafter Soloman.

As per claims 1 and 5; Bapat discloses the invention as claimed including a system and method for monitoring a registry monitoring system comprises requesting (a) a handle for a registry key to a calling process and (b) a registry key value for the handle is equivalently taught as requesting access to specified sets of the managed objects in a control database (e.g. see abstract; figures 1-2 and 4-5; column 3, lines 17 et seq.); obtaining security clearance to complete the requests is taught as an access control server provides access to the managed objects in accordance with the access rights specified by the access control database (e.g. see abstract, column 3, lines 21 et seq.). Bapat, however, does not particularly disclose the security clearance parameter is updated by a system command in association with one or more of the requests. Soloman discloses the missing element that is known to be required in the system Bapat in order to arrive at the Applicant's current invention wherein Soloman clearly discloses the security clearance parameter is updated by a system command in association with one or more of the requests (e.g. see page 305, fourth paragraph); Soloman further discloses in Discretionary access control list (DACL), each access control entry ACE contains a security ID and an access mask wherein two types of ACEs can appear in a DACL,

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access allowed which grants access to the user and access denied which denies the access rights specified in the access mask, the accumulation of access rights granted by individual ACEs forms the set of access rights granted by an ACL, and if no DACL is present in a security descriptor, then the object can be fully accessed by everyone; on the other hand, if the DACL is null, then no user has access to the object (e.g. see page 311, third paragraph; also see pages 312-314). Accordingly, it would have been obvious to one having ordinary skill in the art at the time the current invention was made to utilize the teaching of Soloman wherein the security clearance parameter is updated by a system command in association with one or more of the requests with that of Bapat invention. In doing so, it would (a) increase data locality, and (b) reduce number of system clock cycles that would otherwise require for updating the requests and system command separately, thereby increasing system throughput and reducing bus traffic or bus utilization, therefore being advantageous.

As per claims 2-4 and 6-8; Bapat clearly discloses determining a process ID and registry key value, checking the secured process list to (a) allow the request to complete if the process is not on the secured list or (b) denying the process access to the registry value if the registry key is on the rejection list; also if the registry is not on the rejection list and on the secured process list, processing the value request and

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allowing the request to be completed if the value is not on the rejection list, and denying access to the registry key value if the value is on the rejection list. For example, it should be noted that, Bapat discloses his database management system stores the management information (process ID and registry key value as being claimed) sent by the information transfer mechanism in a set of database tables, wherein each database table stores the management information for corresponding managed objects in individual rows (e.g. see abstract, column 3, lines 26-30); noting that Bapat further discloses ***an access control procedure, limits access to the management information stored in the database tables using at least one permission table*** (e.g. see column 3, lines 31 et seq.; column 26, lines 10 et seq.), wherein a database access engine accesses information in the set of database tables using the permission table such that each user is allowed access only to management information in the set of database that the user would be allowed by the access control data to access (e.g. see column 3, lines 41-45; column 27, lines 47 et seq.).

As per claims 9-12 and 17-20, they encompass the same scope of invention as to that of claims 1-4 and 5-8 respectively; the claims are therefore rejected for the same reason as being set forth above.

As per claims 13-16; the combination of Bapat and Soloman

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discloses the invention as claimed, detailed above with respect to claims 1, 5, 9 and 17; Bapat and Soloman however do not particularly disclose a computer-readable medium comprising computer executable instructions for performing method recited in claims 1, 5, 9 and 17. However, one of ordinary skill in the art would have recognized that computer readable medium (i.e., floppy, cd-rom, etc.) carrying computer-executable instructions for implementing a method, because it would facilitate the transporting and installing of the method on other systems, is generally well-known in the art. For example, a copy of the Microsoft Windows operating system can be found on a cd-rom from which Windows can be installed onto other systems, which is a lot easier than running a long cable or hand typing the software onto another system. The examiner takes Official Notice of this teaching. Therefore, it would have been obvious to put Bapat and Soloman's program on a computer readable medium, because it would facilitate the transporting, installing and implementing of Bapat and Soloman's program on other systems; therefore being advantageous.

As per claims 21 and 29; see arguments with respect to claims 1, 5 and 13; they encompass the same scope of invention as to that of claims 1, 5 and 13; the claims are therefore rejected for the same reasons as being set forth above.

As per claims 22 and 30, the further limitation of denying

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security clearance when at least on security clearance parameter is satisfied is taught by Bapat and Soloman (e.g. see Bapat's column 3, lines 26-30; and Soloman's page 311, third paragraph, lines 1 et seq.; page 313 lines 1 et seq.);

As per claims 23 and 31, wherein said at least one security clearance permission is associated with the elapsed time since the handle or registry key value has been previously requested (e.g. see Soloman's page 310, first paragraph et seq.);

As per claims 24 and 32, the further limitation of at least one security clearance permission is associated with the number of times said handle or registry key value has been previously requested is taught by Soloman since Soloman clearly teaches when all the entries in the DACL have been examined, the computed granted access mask is returned to the caller as the maximum allowed access to the object (e.g. see page 313, 7th paragraph);

As per claims 25 and 33, wherein said at least one security clearance permission is associated with the date in which the handle or registry key value was previously requested (e.g. see Soloman's page 310, first paragraph et seq.);

As per claims 26 and 34, wherein at least one security clearance permission is associated with the accumulated time the handle or registry key value has been previously accessed e.g. see Soloman's page 310, first paragraph et seq.; page 313, 7th paragraph et seq.);

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As per claims 27 and 35, wherein said previous access includes modifying and deleting keys and values of protected data locations (e.g. see Soloman's page 313, first paragraph bridging pages 315, line 2);

As per claim 28, the further limitation of the machine-readable medium includes at least one device driver is taught and embedded in the system of Bapat and Soloman (e.g. see Soloman's figure 6-1, page 308);

5. As to the remark; the combination of Bapat and Soloman disclose the invention as claimed, detailed above with respect to claims 1, 5, 9, 13, 17, 21 and 29. Both of the reference are analogous art and from the same field of endeavor. Particularly the newly added limitation of the security clearance parameter is updated by a system command in association with one or more of the requests which is taught by Soloman (e.g. see Soloman's page 305, 4th paragraph et seq.; also see pages 313-314); noting that Soloman further discloses in Discretionary access control list (DACL), each access control entry ACE contains a security ID and an access mask wherein two types of ACEs can appear in a DACL, access allowed which grants access to the user and access denied which denies the access rights specified in the access mask, the accumulation of access rights granted by individual ACEs forms the set of access rights granted by an ACL, and if no DACL is

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present in a security descriptor, then the object can be fully accessed by everyone; on the other hand, if the DACL is null, then no user has access to the object (e.g. see page 311, third paragraph; also see pages 312-314). The 35 USC § 103 rejection based on the combination of Bapat and Soloman to arrive at the Applicant's current invention is therefore deemed to be proper.

6. THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 C.F.R. . 1.136(a).

A SHORTENED STATUTORY PERIOD FOR RESPONSE TO THIS FINAL ACTION IS SET TO EXPIRE THREE MONTHS FROM THE DATE OF THIS ACTION. IN THE EVENT A FIRST RESPONSE IS FILED WITHIN TWO MONTHS OF THE MAILING DATE OF THIS FINAL ACTION AND THE ADVISORY ACTION IS NOT MAILED UNTIL AFTER THE END OF THE THREE-MONTH SHORTENED STATUTORY PERIOD, THEN THE SHORTENED STATUTORY PERIOD WILL EXPIRE ON THE DATE THE ADVISORY ACTION IS MAILED, AND ANY EXTENSION FEE PURSUANT TO 37 C.F.R. . 1.136(a) WILL BE CALCULATED FROM THE MAILING DATE OF THE ADVISORY ACTION. IN NO EVENT WILL THE STATUTORY PERIOD FOR RESPONSE EXPIRE LATER THAN SIX MONTHS FROM THE DATE OF THIS FINAL ACTION.

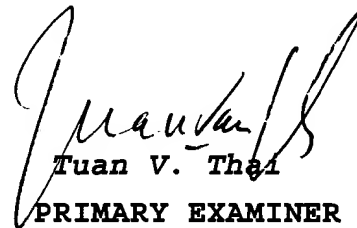
7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tuan V. Thai whose telephone number is (571)-272-4187. The examiner can normally be reached on from 6:30 A.M. to 4:00 P.M..

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Mathew M. Kim can be reached on (571)-272-4182. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

TVT/August 19, 2005



Tuan V. Thai
PRIMARY EXAMINER

Group 2100